



TRANSMITTAL FORM

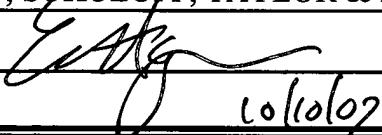
(to be used for all correspondence after initial filing)

		Application No.	10/666,482
		Filing Date	September 18, 2003
		First Named Inventor	Koji Yamada
		Art Unit	
		Examiner Name	
Total Number of Pages in This Submission	15	Attorney Docket Number	96790P442

ENCLOSURES (check all that apply)

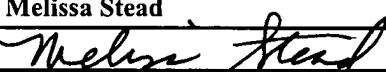
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input checked="" type="checkbox"/> PTO/SB/08 <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Basic Filing Fee <input type="checkbox"/> Declaration/POA <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):	<input type="checkbox"/> Prior Art References (8); return postcard	
			Remarks	

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

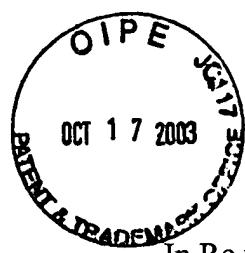
Firm or Individual name	Eric S. Hyman, Reg. No. 30,139 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	10/10/03

CERTIFICATE OF MAILING/TRANSMISSION

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Typed or printed name	Melissa Stead
Signature	
Date	10-10-03

Based on PTO/SB/21 (08-03) as modified by Blakely, Sokoloff, Taylor & Zafman (wir) 09/11/2003.
SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

KOJI YAMADA, ET AL.

Application No.: 10/666,482

Filed: September 18, 2003

For: **Optical Module and Manufacturing
Method Therefor**

Art Group:

Examiner:

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted within three (3) months of filing of the application. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: 10/10/03

Eric S. Hyman, Reg. No. 30,139

12400 Wilshire Blvd., 7th Floor
Los Angeles, California 90025
(310) 207-3800

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Melissa Stead
Melissa Stead

10-10-03
Date

Substitute for form 1449A&B/PTO
**O I P INFORMATION DISCLOSURE
 STATEMENT BY APPLICANT**
(use as many sheets as necessary)
 OCT 17 2003

Sheet 1 of 1

<i>Complete if Known</i>	
Application Number	
Filing Date	
First Named Inventor	
Art Unit	
Examiner Name	
Attorney Docket Number	

U.S.PATENT DOCUMENT

Examiner Initials*	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
		Number	Kind Code ² (if known)		
	US				
	US				
	US				

FOREIGN PATENT DOCUMENT

Examiner Initials*	Cite No. ¹	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Translation ⁶
		Country Code ³	Number ⁴	KindCode ⁵ (if known)			
	JP	10-122341	A	05-15-1998	HONDA MOTOR CO LTD	ABST	
	JP	2002-122750	A	04-26-2002	NTT CORPORATION	ABST	

OTHER PRIOR ART-NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	Translation ⁶
		Shoji et al., "Optical International Structure of Si Waveguide on SOI Substrate", Extended Abstract (the 48 Spring Meeting, 2001) No.3, The Japan Society of Applied Physics and Related Societies (30a-YK-11)	
		Lee et al., "Fabricatio of ultralow-loss Si/SiO ₂ waveguites by roughnesws Reduction", OPTICS LETTERS, Vol. 26, NO. 23, December 1, 2001, Optical Society of America, pp. 1888 – 1890	
		Rickman et al., "Silicon-on-Insulator Optical Rib Waveguide Loss and Mode Characteristics", JOURNAL OF SIGHTWAVE TECHONOLOGY, VOL.. 12, NO. 10, October 1994, IEEE, PP. 1771 – 1776	
		Lee et al., "Effect of size and roughness on light transmission in a Si/SiO ₂ waveguide: Experiments and model", APPLIED PHYSICS LETTERS, VOLUME 77, NUMBER 11, SEPTEMBER 2000, American Institute of Physics, pp. 1617 – 1619	
		Sakai et al., "Propagation Characteristics of Ultrahigh-Δ Optical Waveguide on Silicon-on Insulator Substrate", Jpn. J. Appl. Phys., Vol. 40, Part 2, No. 4B, 15 April 2001, pp. L383 – L385	
		Yamada et al., "SOI-based Photonic Crystal Line-Defect Waveguides", Invited Paper of Active and Passive Optical Components for WDM Communications II, Proceedings of SPIE, Vol. 4870 (2002)	

Examiner Signature		Date Considered
--------------------	--	-----------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov, MPEP901.04 or in the comment box of this document. ³Enter office that issued the document, by the two-letter code (WIPO Standard ST.3) ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to indicate here if English language Translation is attached.